ROADMAP II: THE NEXT GENERATION

2000 – 2006

TACTICAL PLAN

U.S. DEPARTMENT OF ENERGY

OFFICE OF THE CHIEF INFORMATION OFFICER
RECORDS MANAGEMENT DIVISION

JANUARY 2000

TABLE OF CONTENTS

I. TACTICAL PLAN -- ROADMAP II: THE NEXT GENERATION

The first plan "Roadmap to the Year 2000" covered seven years, 1993 to 2000. **The Roadmap II: The Next Generation** consists of new, as well as revised action items, and will span another seven years (2000 to 2006). Great strides were made during the first Roadmap as demonstrated by the development of policies and guidelines that provide efficiency and consistency in records management.

Roadmap II Tactical Plan includes projects that are concerned with the management of electronic records and the capture and preservation of previously unrecorded information. Some of the technology-related projects that have been identified include a Department standard for records management software applications, and policy and guidance documents on Y2K records, electronic mail and web-based records. Projects that relate to knowledge management and preservation of unrecorded information include the recording of oral histories of high-level projects and programs, and the filming of personal interviews of prestigious scientists and officials.

Additionally, included are projects that will begin to address cyber technology using DOE intranet and portals to manage information generated or requested by DOE personnel. Roadmap presents a view of the future of the Department of Energy's Records Management Program and, when all actions are complete, it will reveal a history of program improvement.

II. ORGANIZATION

The Roadmap II Tactical Plan is divided into four sections. Section 3.0 identifies the fundamental Building Blocks of the program. The Building Blocks are permanent programmatic elements that are necessary for the success of any program and, through this and subsequent plans, will be implemented as outlined. Sections 4.0, 5.0, and 6.0 contain discussions of the program elements, technical elements, and technology enhancements, respectively. These sections will change over time as the program continues to improve and technology evolves. Each section contains associated goals and objectives that address current issues and concerns of the Records Management community. The implementation of the actions as outlined in each building block will result in a restructured and more effective Records Management Program.

Section 3.0 Building Blocks include actions pertaining to:

- Institutionalization
- Credibility
- Education, Awareness and Training
- Communications
- Resources

Program and technical elements, and specific objectives to be addressed for each are identified below. Some of the elements are closely related, however, each element is important enough to warrant a separate discussion. (Section VI).

Section 4.0, Records Management Program Elements include actions pertaining to:

- Recordkeeping Requirements;
- Creation;
- Inventory Process;
- Scheduling and Disposition Processes;
- Information Access;
- Adequate Storage Capability and Facility Standards;
- Personal Papers and the Prevention of Removal and Destruction of Records;
- Disaster Prevention and Recovery Program/Vital Records;
- Document Control Program; and,
- Program Evaluation Process--Business Management Oversight Process (BMOP).

Section 5.0, Records Management Technical Elements includes:

- Declassification Initiative;
- Epidemiology records;
- Contaminated records;
- Contract Language and Government Ownership;
- Records Management for Non-Nuclear Reconfiguration;
- Plant Closure/Commercialization/Stewardship;
- Environmental Administrative record;
- Litigation Documents/Discovery Process;
- Working Papers;
- Privacy Act, Freedom of Information and Proprietary Issues;
- Audiovisual Records;
- Cartographic Records;
- Engineering Drawings;

- X-Rays and Radiograph Records; and,
- Quality Assurance Records.

Section 6.0, Records Management Technology Enhancements includes the following items:

- Enhancement of the DOE Records Management Web Site;
- Develop Web-Based Information on Records Inventories;
- Establish Policy for Web-Based Records;
- Develop a Feasibility Study for the Creation of a Central Electronic Records Storage Repository;
- Establish a DOE Policy for E-Mail Management;
- Establish Guidance on the Use of Electronic Signatures;
- Establish Criteria for Data Migration;
- Develop a Standard for Electronic Records Management Software Applications;
- Alternate Technologies;
- Guide for Records Management Participation in Developing/Modifying Current/Future Software;
- Identify and Schedule Existing Unscheduled Electronic System Records; and
- Establish Guidance for Y2K Records.

III. REPORTING RESPONSIBILITIES

Completing Action Items

Sections 3.0, 4.0, 5.0 and 6.0 contain action items that are being undertaken on a voluntary basis by members of the Records Management Community. Most action items, when completed, will benefit the entire Department. However, actions may also address site-specific needs. Many factors such as interest, expertise, priority reviews and resources are considered when sites assume project leads. The completed action items, i.e., procedures, guidance and processes are then generated by the lead site with input from team members. As the action item and appropriate product is being completed, the HQ Records Management Division will track progress.

IV. RECORDS MANAGEMENT PROGRAM WEB SITE

The first volume, “Roadmap to the Year 2000” will remain on the Records Management web site (http://www-it.hr.doe.gov/records/rmaprv1.htm). The status of

each project is/or will be noted. Roadmap II: The Next Generation will continue to remain on the web site and as action items are completed, the resultant products will be placed in the Roadmap Products section of the web site and/or links provided for viewing.

V. IMPLEMENTATION

Responsibilities

Responsibility for oversight of Roadmap and revisions thereto, rests with the DOE Headquarters Records Management Division, under the umbrella of the Office of Information, Records and Resource Management, Office of the Chief Information Officer.

The Roadmap will undergo a complete review annually to determine progress achieved, changes in program direction, project assignments, and availability of resources. The review is conducted by the Records Management Council and recommended changes are furnished to the DOE records management community for review and comment.

The action items in this Roadmap are linked to the goals of the Department. Action items are discussed in the text of Section VI, and outlined in milestone reports. Each action item includes: Title of the Action, Tasks Involved, Target Date for Completion, and the responsible Lead Office.

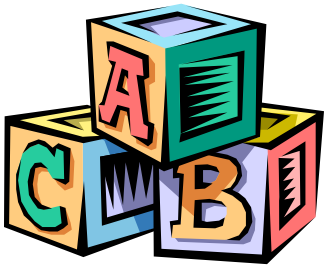
Schedule

Due dates and milestones are developed shortly after responsibility of action item has been assumed. For current status of action items, please refer to the database reports that will be provided on the CIO/Records Management web site and/or request specific report information from the HQ Records Management Division.

Reporting Roadmap II Action Items

The DOE HQ Records Management Division will request status reports on the action items listed in Section VI and will provide updates via the CIO/Records Management web site. Action items will be maintained in a database and summary reports issued periodically.

VI. ACTION ITEMS

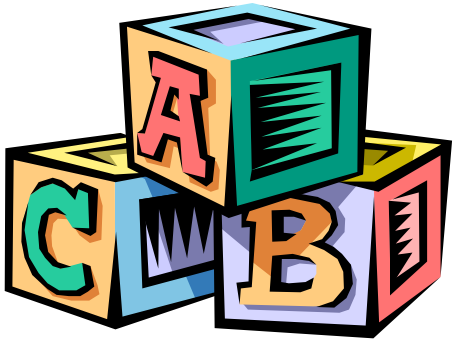


3.0 [RECORDS MANAGEMENT PROGRAM BUILDING BLOCKS]

4.0 [RECORDS MANAGEMENT PROGRAM ELEMENTS]

5.0 [RECORDS MANAGEMENT TECHNICAL ELEMENTS]

6.0 [RECORDS MANAGEMENT TECHNOLOGY ENHANCEMENTS]



3.0 RECORDS MANAGEMENT

PROGRAM BUILDING BLOCKS

3.0 RECORDS MANAGEMENT PROGRAM BUILDING BLOCKS

A good Records Management Program is composed of many elements or building blocks. Solid building blocks are necessary for a strong, viable program that is uniform in structure, reliable, and visible to the organization. The building blocks of this program, like any other, should be placed on a strong foundation of resources that includes funding, training, and knowledgeable, experienced people.

3.1 Institutionalization

Lead Site: **HQ, RM Council**
Anticipated Completion Date: **Ongoing**

A successful management program incorporates, as standard business practice, information and records management polices, procedures, and processes. This seamless integration is referred to as institutionalization.

Records management is sometimes perceived as a program that handles cleanup at the end of the records' life cycle. Many organizations do not know the benefits derived from the records management discipline and see little, if any, added value in institutionalizing records management principles and practices.

Changing this perception requires training, awareness, and a universal comprehension of the way in which records management supports the missions and functions of the Department. A good marketing plan is needed to promote the program. Typically, senior-level management needs to be convinced that a comprehensive Records Management Program provides substantial return on the investment of resources.

In today's competitive, diverse, and highly complex environment, effective decision-making is difficult and decisions often have a far-reaching impact. Without proper information, managers may reach incomplete and inaccurate decisions. Thus, leaving themselves and their organizations in a less effective position. Records Managers know all too well that this situation occurs frequently. Often, organizations do not properly preserve or access records that could significantly contribute to problem solving, decision making and strategic planning. The risks associated with not having access to adequate information, as evidence in litigation or in compliance with statutes and regulations, must be recognized.

The capture and management of information must be formalized as a critical component of the overall corporate structure. Our aim is to manage information as a corporate resource instead of treating it as a departmentalized, administrative responsibility. Such a course would integrate records management into corporate philosophy and link our goals, objectives, and activities to overall strategic planning. In particular, the strategy must integrate the management of records with the management of automated information

systems. In this way, records are managed as interrelated building blocks in the overall information structure of the organization, not as a separate entity.

In order to establish an environment where records management becomes a seamless activity, employees must be trained in the handling and processing of recorded information. We need to ensure that employees who create records can also provide accountability and authentication of their holdings. Institutionalization of records management will require a commitment from management and the cooperation of all Departmental Elements. The benefits are worth the efforts, i.e., information will be provided in a timely manner and a more efficient, effective Department of Energy will result.

To create a comprehensive and uniform records management approach that is recognized and accepted as a standard business practice, the following activities should be undertaken on an ongoing basis:

3.1.1 Promote the Records Management Program through education and awareness and specify projects such as: soliciting one or more senior officials to become records management advocates, presentations to the IT Council and senior management, records management ads in DOE newsletters, and marketing demonstrations, displays and posters. Obtain the Chief Information Officer's endorsement of and commitment to the Records Management Program, and increase senior management awareness of program issues through periodic briefings and reports.

3.1.2. Issue a directive that provides policy and responsibilities for the creation, maintenance and disposition of records.

3.1.3 Require a minimum degree of records management training and awareness for all employees.

STATUS: Item 1 and 3 are ongoing. Item 2 has been submitted for Directives Processing.

3.2 Credibility

Lead Site: **HQ, All Sites**
Anticipated Completion Date: **Ongoing**

A successful Records Management Program has credibility. It is accepted for its benefits and the value it provides to customers. The program is able to deliver what it promises.

Our goal is to create an effective Records Management Program that is fully supported by management. To successfully accomplish this goal, the following actions should be initiated:

3.2.1 Identify and pursue joint ventures with other agencies on records management issues.

STATUS: Ongoing.

3.3 Education, Awareness and Training

Lead Site: **HQ and each Site**
Anticipated Completion Date: **Ongoing.**

A successful Records Management Program involves educating employees (both DOE and contractor) and stakeholders (state and local governments, the public, etc.) about records management requirements, benefits, and their responsibilities relative to the program. Once records management literacy is obtained throughout DOE and the stakeholders' communities, support for the program will increase.

Currently, there are few avenues available to assist the public in using the Department's information resources. However, projects are planned that include publicly available finding aids and information about how to access DOE records.

The goal is to educate DOE employees, contractors and stakeholders in records management requirements and to make them aware of their records management responsibilities. To successfully accomplish this goal, the following actions should be initiated:

3.3.1 Update training and awareness materials and HQ will post a listing of materials/courses on the web. Each site will provide HQ CIO Webmaster with an update of training and awareness materials.

3.3.2 Encourage actively participation in by records management personnel in information management conferences.

3.3.3 Provide records management related articles to Departmental newsletters, expand distribution to records management community, federal and contractor.

3.3.4 Periodically issue numbered memos soliciting articles of interest and success stories on records management for CIO Newsletters.

3.3.5 Periodically review membership and charter of the Information Technology (IT) Council to ensure that records management is represented.

3.3.6 Periodically review the Records Management Council charter and membership to determine if changes are required.

3.3.7 Develop a pamphlet on records management responsibilities to be included in new employee orientation packages and briefings.

STATUS: Items 1 through 6 are ongoing. Item 7 is complete.

3.4 Communication

Lead Site: **HQ and All Sites**
Anticipated Completion Date: **Ongoing**

Communication is defined as the timely exchange of information so both the provider and receiver have a common understanding of the subject being shared.

It is important for records management personnel to have an understanding of the program's objectives, priorities, and requirements. In turn, the entire DOE community should understand its roles and responsibilities in the context of records management. Policies, procedures, training and awareness facilitate this understanding at all levels. However, clearly identified channels of communication through which to exchange this information are essential.

In the past, these channels have not been properly identified nor appropriately used. Information technology was not available or was used infrequently for routine communication. Recently however, the use of technology has improved both the timeliness and accuracy of communicating.

To successfully improve communication, the following actions should be initiated:

3.4.1 Periodically review distribution lists to ensure that records management staff are on standard distribution to receive Department newsletters on information management activities and technology related issues. Develop and maintain a directory of members of the DOE records management community and their areas of expertise and functional Responsibilities.

3.4.2 Continue ongoing communications between site RMPOs and their HQ records management point of contacts.

3.4.3 Encourage participation in meetings with DOE and other records management professionals.

3.4.4 Ensure records management issues are addressed at Records Management and Information Technology Council meetings.

3.4.5 The RM Council maintains oversight of the Roadmap, Tactical Plans, updated every six months and Strategic Plan updated every seven years.

STATUS: Ongoing.

3.5 Resources

Lead Site: **HQ and All Sites.**
Anticipated Completion Date: **Ongoing**

The effective management of information requires resources such as funding, equipment, technology, and knowledgeable, experienced people. A successful management program maximizes available resources.

Historically, sufficient funds have not been available to support a strong Records Management Program and virtually no funding is available to initiate knowledge management projects. Records are not viewed as a valuable resource that requires proper management and, therefore, adequate funding. Records management has been viewed as an administrative duty and included with other overhead functions.

With the exception of information technology, little is presently known about how information management resources are acquired and budgeted in the Department. The funding issue is further complicated at sites where contractors are performing work for more than one Headquarters organization. The solution, and our goal, is to integrate information management activities with program planning. The programs that implement the missions of the Department are also responsible for creating the records of the Department. These programs are fully funded.

To successfully accomplish the goal of maximizing resources, the following actions have been identified:

3.5.1 Brief the CIO and senior management on the importance of adequate funding for the programs.

3.5.2 Incorporate Records Management into program strategic planning.

3.5.3 Include in all DOE planning processes the requirement that organizations must plan for the costs of records management along with all other costs associated with program execution.

3.5.4 Work with NARA, OMB, and other Federal agencies to pursue planning and budgeting for records management as an integral part of program planning and budgeting.

3.5.5 Review and guide the Office of Science pilot planning project to ensure actions and costs associated with information management are considered along with the costs associated with technology acquisition. Such actions and costs should be integrated into program planning.

3.5.6 Establish a group to identify and develop a budget model and costing guidelines for the program. Costing guidelines should include the life cycle costs of records management and the model should include the types of expenditures routinely required.

STATUS: Ongoing.

4.0 RECORDS MANAGEMENT

PROGRAM ELEMENTS

4.0 RECORDS MANAGEMENT PROGRAM ELEMENTS

4.1 Creation/Adequate and Proper Documentation / Recordkeeping Requirements

Lead Site: **HQ, Oak Ridge Operations Office**
Anticipated Completion Date: **FY 2002**

A successful Records Management Program begins with having good information management practices at the creation of the information and using those practices throughout the life cycle of the information. This is critical because the manner in which the records are created and information collected impacts upon its maintenance, use, and disposition.

In the past, DOE records management activities focused on the maintenance and disposition of records rather than on the creation and collection of information.

In order to achieve the overall goal of a comprehensive Records Management Program, including all elements, specific records management requirements should be included in all programs, project plans, contracts, and directives. The requirements should contain details of which records are to be created and collected, maintenance and disposition information, prescribed storage media, organizational and physical location, etc.

Record keeping requirements are statements in statutes, regulations, agency directives, and other authoritative issuances providing general and specific information on particular records to be created and maintained by the Department. Since the Department is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, record keeping requirements should be issued for all activities at all levels for all media, and should distinguish records from non-record materials for agency purposes.

Since there is little written guidance on the necessary requirements from NARA, it is important to exchange concepts, approaches, and successes in implementing the record keeping requirements regulation with other agencies.

To further ensure that these goals are achieved, the following actions are suggested:

4.1.1 Review and revise guidelines on computer software management to address record keeping requirements (previously DOE 1330.1).

4.1.2 If appropriate, address the impact of technology on records creation.

4.1.3 Review local draft and formal policies and requirements to assure record keeping requirements are included and to ensure that full life cycle of a record is addressed.

4.1.4 Have contractor records management staff review authoritative issuances to ensure record keeping requirements are included.

4.1.5 Identify, recommend, and coordinate record keeping requirements to be included in the Department of Energy Acquisition Regulations (DEAR).

4.1.6 Involve records management personnel in the development of record systems by researching DOE project activities (e.g., weekly program or project activity reports, presentations, and networking, etc.).

4.1.7 Establish procedures that allow records managers to participate in the development or revision of agency programs, processes, systems, and procedures to ensure that appropriate planning for records is included.

4.1.8 Ensure that DOE program evaluations include assessments of documentation at a site or by program.

4.1.9 Identify and define all record keeping requirements, both internally or externally imposed or established, or that need to be established.

4.1.10 Define all records series that should be or have already been created to properly document each mission, goal, objective, program, project, and activity for all DOE organizations.

4.1.11 Develop and issue policy and procedural guidance for record keeping requirements.

4.1.12 Include Records Management as part of the employee termination and check-out process.

STATUS: Item 4 has been implemented. Items 1-3 have *not been* addressed
Item 7 has been completed. Item 6 is in process.

4.2 Inventory Process

Lead Site: **HQ**
Anticipated Completion Date: **FY 2000**

A successful Records Management Program is founded on knowing what information is available and where it is located. Once records are inventoried, decisions can be made on the information's value and on how the records should be managed. An effective inventory covers all media and includes records, non-record materials, active, and inactive records.

Although changing the inventory methodology will be time-consuming and imposing new requirements will be costly, a successful inventory effort will result in the complete, current identification of all DOE records.

The following suggested actions would improve the inventory process.

4.2.1 Identify and share the benefits of completing the inventories to obtain management support, and share successful management selling strategies.

4.2.2 Establish a group consisting of representatives from multiple sites, to evaluate the current inventory process and to make recommendations for improvements, including standardization, simplification, and automation.

4.2.3 Update inventories.

STATUS: Initial actions have been taken on items 1 and 2.

4.3 Scheduling and Disposition Processes

Lead Site: **HQ**
Anticipated Completion Date: **FY 2002**

A key part of any successful Records Management Program is having a schedule of how long a record is kept before it is transferred to an inactive records storage facility, Federal Records Center, the National Archives, or is destroyed. For consistency of application, the schedules must be current, clear, specific and verified periodically.

The DOE Records Management Program has taken steps to develop comprehensive disposition schedules for all DOE records, including records maintained and managed by DOE contractors. Departmental and programmatic schedules for administrative, environmental, weapons, and research and development records should receive priority. Once these schedules have been developed and approved by NARA, other areas suitable for generic scheduling will be identified.

To successfully accomplish this goal, the following actions should be initiated:

4.3.1 Develop and implement records retention and disposition schedules that are comprehensive and that represent the DOE complex, including departmental, programmatic, and site-specific schedules.

4.3.2 Establish a group composed of records management and information technology professionals to plan the transfer of records scheduling and disposition process to an

electronic system. Once the system is established, maintain the disposition schedules electronically.

4.3.3 Implement approved records schedules throughout DOE. (Prior to implementing, schedules must be approved by NARA.)

STATUS: Items 2 and 3 are complete; however, items 2 and 3 should be revised after the next inventory update. Item 1 is ongoing

4.4 Information Access

Lead Site: **HQ and EH Program Office**
Anticipated Completion Date: **FY 2000**

The Department of Energy has an obligation to provide complete and accurate information on its activities to the public, to the maximum extent consistent with protection of national security and with other societal objectives (i.e., protection of personal privacy, for example).

A number of drivers have reinforced the need to make DOE records more easily available. Litigation has had a major impact on the search for, retrieval, review, declassification and accessibility of our records. The establishment of Public Reading Rooms across the DOE complex, where duplicate copies of documents generally related to epidemiological issues are housed and available to researchers, has been a major step in permitting the public to have access to records, regarding DOE affairs. An effort to create finding aids, which may direct researchers toward certain collections of records, is also underway.

The issue of DOE stewardship (measures required to ensure adequate protection of human health and the environment following cleanup at DOE sites) also necessitates that we provide documentation on how that effort was achieved. It is another initiative for which we must guarantee that information will be accessible on a long-term basis.

The following actions are suggested as initiatives for Information Access:

4.4.1 Increase responsiveness and timeliness of records retrieval.

4.4.2 Appropriately schedule and disposition all DOE records. Records are easier to locate if they have been dispositioned properly.

4.4.3 Continue to work to create finding aids to DOE records collections. This effort was begun by the Office of Environment and Health and should be supported to the extent possible, by Records Management.

4.4.4 Identify sites and projects/programs that will be terminating or transitioning in DOE.

4.4.5 Develop a database to track the location of DOE collections, particularly those for sites that are, or will be closing in the near future.

4.4.6 Develop a standard for access to DOE records. This may be done in conjunction with the FOIA/Privacy Act staff. The process should include a central control through which all on-going record searches are identified. This may alleviate duplication in effort at some sites.

4.4.7 Implement an automated records tracking system.

4.4.8 Support of the Secretarial initiative to make available information about classified records as they are declassified. (All sites)

4.4.9 Support the Secretarial initiative to make available all records relating to human radiation experimental and intentional releases. (All sites)

STATUS: Items 1 through 3 are ongoing. Item 4 is underway and the tasks associated with item 5 are to be determined.

4.5 Adequate Storage Capability and Facility Standards

Lead Site: **HQ and All Sites**
Anticipated Completion Date: **Ongoing**

DOE records must be kept in adequate storage facilities to prevent their loss, destruction or contamination. Standards should address the special requirements, encountered by DOE, i.e., quality assurance records, contaminated records, x-rays, and the records accumulating because of moratoria. (36 CFR Part 1228 “Agency Records Centers” becomes effective January 3, 2000).

Facilities operated by NARA, including Federal Records Centers, will not accept contaminated records. Only a few Federal Records Centers meet DOE requirements for housing classified records. None have environmentally controlled space meeting the requirements for the storage of x-rays and radiographs. Additionally, NARA has begun charging fees for storage of DOE inactive records. We currently are paying additional for storage of records that have met their disposition, but are being retained at Federal Records Centers due to the moratorium on destruction of epidemiology-related records.

To improve the storage capability and facility standards, the following actions are suggested:

4.5.1 Form a group that will:
Survey DOE sites to identify the magnitude of the problem,
Provide demographics,
Develop standards of operations,
Provide a plan of implementation.

4.5.2 Implement an electronic records management system to reduce the amount of physical space needed and to improve retrievability.

4.5.3 Establish a DOE National Records Center that would store the majority of inactive DOE records.

STATUS: Issue, as written, has been completed. We must continue, however, to direct attention to other alternatives such as promoting the concept of central records storage for the agency. (See also 6.4 Central Repository for Electronic Records, as a partial solution to the storage problem.) Item 1 is complete. Item 2 is ongoing and item 3 is on hold indefinitely due to lack of funding

4.6 Personal Papers and the Prevention of Removal and Destruction of Records

Lead Site: **OR/ORNL**
Anticipated Completion Date: **06/2001**

The rules for disposition of Federal records are stated in 36 Code of Federal Regulations 1228, "Disposition of Federal Records." No records can be destroyed without the approval of the Archivist of the United States. This approval is granted by generic and agency specific records schedules. Records may not be removed from Federal custody or destroyed, without regard to the provisions of these schedules. The unauthorized destruction, removal, or mutilation of records is punishable by fines and imprisonment as specified in 18 United States Code, Chapter 101 Part 2071. The heads of Federal agencies are responsible for ensuring that all employees are aware of the provisions of the law relating to unauthorized destruction, removal, or mutilation of records, and should direct that any such actions be reported to them.

Personal papers are documentary materials of a private or non-public character that do not relate to or affect the conduct of an agency's business. These materials are excluded from the definition of Federal records and are not owned by the Government. Personal papers must be clearly designated and maintained separately from an office's records.

Currently in DOE there is a misunderstanding of what constitutes personal papers and personal papers are often intermixed with Federal records.

To safeguard against the improper removal or destruction of records, the following actions should be initiated:

4.6.1 Periodic reminders are suggested on the management of Federal records. Upon receipt, each DOE organization should then distribute the reminder to its facilities, as appropriate. Ongoing awareness activities also should be considered, such as posters, pamphlets, etc.

4.6.2 Periodic reminders are suggested on the management of personal papers. Each DOE organization should then issue local implementing procedures. As contractually allowed, the maintenance of personal papers in DOE-provided facilities should be discouraged to minimize the cost of storing and managing non-Government property.

4.6.3 Establish procedures to require the debriefing of departing senior officials by records management officials to ensure no records are inadvertently removed from Federal custody.

4.6.4 As part of the debriefing process develop a method of creating oral histories, at the site level, as senior officials depart.

STATUS: Item 4 is complete. Items 2, 3 4 are ongoing.

4.7 Disaster Prevention and Recovery Program/Vital Records

Lead Site: **Oakland Operations Office**
Anticipated Completion Date: **FY 2001**

Policies, plans, and procedures to protect and to reconstruct records in the event of an emergency must be in place.

The responsibility for emergency preparedness and response is fragmented in DOE. Resources necessary to vital records protection have not been identified nor included in budgeting for emergency preparedness and operation. Responsibilities and procedures have not been clearly understood at operational levels.

Potential disasters will continue to drive the need to prepare for DOE operation under emergency conditions. Identification and protection of vital or other important records are essential for a successful disaster prevention and recovery program.

Vital records are divided into two categories. The first category is emergency operating records, which are records essential to the continued functioning or reconstitution of an organization before, during, and after an emergency. The second category is rights and interests records, which are records essential to protecting the rights and interests of an

organization and the individuals affected by its activities. Vital records also are referred to as essential records, and are an integral part of an agency's disaster prevention and recovery program.

Examples of emergency operating records include:

- Emergency plans, directives and procedures
- Delegations of authority
- Staffing requirements
- Records for the maintenance of public health and safety
- Mobilization and protection of materials and staff
- Military and weapons records

Examples of rights and interests records include:

- Accounts receivable records
- Social security records
- Payroll records
- Retirement records
- Insurance records
- Research records

A goal of the DOE Records Management Program is to protect and recover vital records if there is a natural disaster, hazard, or civil defense emergency.

The volume of vital records is difficult to keep at a manageable level, and the logistics and cost of maintaining duplicate records at off-site locations represent major barriers. Adequate storage may not be available at or near Emergency Operating Centers, and many DOE storage facilities do not meet facility standards. The cost of upgrading deficient DOE facilities is a major impediment. Privacy Act and legal considerations for duplication of and access to certain types of records are also obstacles to program implementation.

Responsibilities and procedures need to be understood at the operational levels because vital records programs have not been implemented fully at all DOE sites.

To successfully accomplish the goal, the following actions should be taken:

4.7.1 Develop and issue DOE criteria for identifying and selecting Vital Records, regardless of media.

4.7.2 Issue local directives that set site responsibilities, authorities, and procedures, and include the formal designation of vital records managers.

4.7.3 Provide training in vital records identification, maintenance, and protection, and make the training available to appropriate personnel at all levels.

4.7.4 Develop plans for identifying, protecting and storing vital records. Apply management controls to offsite storage locations to ensure that the emergency copy is accurate, current, and complete.

4.7.5 Conduct annual reviews to determine whether the vital records selected are current, complete, adequately protected, accessible, and usable when needed.

4.7.6 Modify policies, procedures, and records, as needed, to reflect changes in mission, programs, or operations.

4.7.7 Establish and maintain an active, ongoing program for the efficient and economical management of vital records.

4.7.8 Establish safeguards for maintenance and protection against removal or loss of those records determined to be essential.

4.7.9 Define vital records and include the definition in standards for retention and disposition.

4.7.10 Perform risk assessments and develop a plan to address disaster prevention and recovery.

4.7.11 Develop policies and procedures to ensure protection from disaster or other emergencies.

4.7.12 Identify resources needed to mitigate the effects of disaster or other emergency on vital records.

4.7.13 Provide adequate training.

4.7.14 Participate in mock disaster scenarios to examine whether the procedures are adequate and current.

4.7.15 Identify and maintain communication and appropriate interaction with other DOE organizations responsible for emergency preparedness and response.

STATUS: Incomplete.

4.8 Document Control Program

Lead Site: **HQ and Idaho Operations Office**
Anticipated Completion Date: **FY 2000**

A successful Information Management Program ensures work-governing documents are current, accurate, readily available, and document changes are properly reviewed, approved, and disseminated.

In DOE, the Document Control Program is principally used in nuclear programs and is implemented according to standards set by the American Society of Mechanical Engineers. There is no DOE-wide policy on document control and no consistency in the way the programs are implemented. Document control is often mistaken for records management, particularly in programs driven by individuals with a quality assurance background. The Document Control Program has no program order, senior management representative, or sponsor.

To increase the benefits of a Document Control Program for all media and sources, the following actions should be initiated:

4.8.1 Designate the Chief Information Officer as sponsor for the document control program.

4.8.2 Establish a group to develop a DOE Order on document control and to identify additional issues and actions.

4.8.3 Have each site develop and issue a document control implementation plan according to the DOE Order.

4.8.4 Apply technology (including imaging) to appropriate areas including document creation, review, markup, comment resolution, approval, release, distribution, and copy capture.

4.8.5 Educate employees on the functions of a document control program and apply the program consistently.

4.8.6 Implement an electronic document management system that is integrated with electronic records management system.

STATUS: Items 1, 2 and 3 are incomplete. Items 4 and 5 will be ongoing.

4.9 PROGRAM EVALUATION PROCESS (BMOP)

Lead Site: **Oakland Operations Office**
Anticipated Completion Date: **FY 2001**

A successful Records Management Program periodically monitors and revises its records management practices and procedures to ensure compliance with appropriate policies and regulations, and good business practices. Relying on performance based management techniques can be successful in achieving the goals of streamlining operations and reducing costs.

To successfully evaluate the Department's Records Management Programs, the following actions for planning, monitoring and evaluating should be initiated:

4.9.1 Educate management at all levels on the assessment processes and their responsibilities for funding and implementation.

4.9.2 Develop a performance-based model that includes measures for strategic and site-specific goals.

4.9.3 Develop specific measures that benchmark past performance, expectations and accomplishment of goals.

4.9.4 Develop tools and techniques to determine or measure the level of satisfaction with a records management program.

4.9.5 Develop baselines for measuring program improvement.

STATUS: Item 1 is complete. Item 2 is ongoing. Items 3, 4 and 5 are incomplete.

5.0 RECORDS MANAGEMENT

TECHNICAL ELEMENTS

5.0 RECORDS MANAGEMENT TECHNICAL ELEMENTS

5.1 Declassification Initiative

Lead Site: **OSTI, HQ All sites**
M. Sexson/AL
Anticipated Completion Date: **Project Ongoing**

Declassification is the process that certifies the safe disclosure of information previously withheld for national security reasons. A goal of the DOE Records Management Program is to support the DOE initiative on declassification by assisting in identifying and locating classified information. The initiative supports the DOE culture of openness, by making appropriate information currently classified available to stakeholders. Priorities were established for declassification reviews in the following subject areas: public health and safety, off-site toxicity levels, worker exposure and hazards, and human radiation experiments. Primary responsibility for declassification effort rests with the National Nuclear Security Agency (NNSA); however records management plays a key-supporting role.

To support the declassification initiative the following actions should be accomplished:

5.1.1 Assist in ensuring that the Office of Scientific and Technical Information Office is informed via the change notice system when scientific and technical information documents are declassified.

5.1.2 Perform physical declassification if part of the sites Records Management function.

5.1.3 Request that declassified records have unclassified access limitation reviews conducted.

STATUS: Items 1 and 3 are ongoing.

5.2 Epidemiology Records

Lead Site: **HQ and EH Program Office**
Anticipated Completion Date: **Project Ongoing**

Epidemiology records are documents that contain industrial hygiene, worker identification, and laboratory test results information as well as site organization, configuration, and operation information. The DOE Records Management Program must preserve epidemiology records and make them available to health researchers charged with investigating site worker or nearby community health.

In 1991, the DOE placed an agency wide moratorium on the destruction of records useful to epidemiology studies. The moratorium is broad and applies to both DOE and DOE contractor records. The moratorium is applied by record schedules and defines appropriate records series. The moratorium has eliminated the requirement that sites conduct a special inventory of their epidemiology records.

The DOE record management community reaffirms its commitment to the preservation of epidemiology records and of their availability to health researchers. This effort is an important and integral part of building a culture of openness within DOE.

Two organizations within the headquarters Office of Health Studies (EH), the Office of Epidemiology Studies and the Office of Records, Research, Data and Access, have the lead on epidemiology issues related to the moratorium. These offices coordinate site visits of health researchers undertaking epidemiology studies and determine whether specific site records are included under the moratorium or can be removed from it.

Because the moratorium on the destruction of epidemiology records is very broad, and includes some records, which are not useful for epidemiology studies, DOE is working to refine the moratorium. The moratorium is refined by having an EH representative review record series to determine whether they are useful for health studies. Those determined not to be useful for epidemiology studies are removed from the moratorium and sites may resume their normal disposition. Records, however, are only removed from the moratorium for specific DOE sites; there is no DOE-wide removal of records from the moratorium. Further records are removed from the moratorium by specific series. DOE field offices that wish to have records reviewed to determine whether they are no longer useful for health research should contact the Office of Records Research Data and Access. Contractors should coordinate this through the Records Management Program Officers.

Records officers who have questions about the moratorium should direct them to their site EH representatives or to HQ. Guidelines have been published for site visits by health researchers and EH/HQ can assist in coordinating site visits.

To successfully preserve epidemiology records and to implement the moratorium, the following actions are suggested:

5.2.1 Continue to work with EH-64 in refining the moratorium on the destruction of epidemiology records.

5.2.2 Alert EH-62 and EH-64 when health researchers propose to visit a site and work with EH-62/EH-64 to coordinate site visits and to provide epidemiology records to researchers.

5.2.3 Develop a Lessons Learned report to assist in planning for future records.

STATUS: Items 1 and 2 are considered ongoing tasks.

5.3 Non-Radiological Contaminated Records

Lead Site: **Rocky Flats Project Office**
Anticipated Completion Date: **FY 2000, 3rd Quarter**

Contaminated records are those records containing external impurities that render the media on which the records are stored unsafe for human handling without special precautions. There is potential non-radiological contamination of a number of records at many of the DOE sites.

The goal is to reduce contaminated records from DOE and external agencies' storage, to prevent future exposure of personnel to contaminated records, and to mitigate the potential for additional records to become contaminated all in a cost effective manner.

To successfully accomplish this goal, the following actions should be initiated:

5.3.1 Identify the types of non-radiological contaminated records maintained at DOE sites.

5.3.2 Review the DOE directives system to determine if there are published orders on various contaminants and their release levels.

5.3.3 Produce a matrix document that outlines other types of non-radiological contamination and any applicable governing regulations.

5.3.4 Educate personnel regarding sources of contamination other than radioactive material.

STATUS: Project is complete; however, item 3 is incomplete and item 4 is considered ongoing. A guidance document was developed and issued on contamination and De-contamination procedures. A matrix document will be developed for review for the RM Council by end of 3rd quarter FY 2000.

5.4 Contract Languages and Government Ownership

Lead Site: **HQ and All Sites**
Anticipated Completion Date: **FY 2001, 1st Quarter**

As privatization and increased use of multiple sub-contractors continues to become more prevalent throughout the DOE complex, the question of which records are federal records and which belong to contractors and sub-contractors becomes more complex.

This raises a number of records management issues. Varied contract and sub-contract language defining which records should revert to DOE upon contract completion. Potential loss of records pertaining to site activities. Failure of flow down for ownership of record clauses from contracts to sub-contract to sub-sub contracts, etc.

Useful References:

48 CFR (DEAR) 970.0407-3
Clause (f) of this rule seems to incorporate by reference the use of DOE Order 1324.5, so that even if this is a canceled directive, if a contract contains this clause, then the contractors/sub-contractors must follow these procedures.

Clause (g) provides for flow down. It would be in our interest to check and make sure this is happening.

Los Alamos Study Group v. Department of Energy, Civil No. 97-1412DJS/WWD (United States District Court for the District of New Mexico.) The holding in this case, filed on July 22, 1998, states that just because contract language states that records belong to a contractor, does not make it so. Rather, it uses a 4-prong test to determine ownership. The court decreed that ownership is determined by: 1) intent of creator, 2) ability of the agency to use and dispose of the records as it sees fit, 3) the extent to which agency personnel have read or relied upon the document, and 4) the degree to which the document was integrated into the agency's records system or files. (Tax Analysis v. Department of Justice, 913 F. Supp. 599 (D.C.C.) aff's 107 F. 3d-923 (D.C. Cir) cert. en. 118 S.Ct. 336 (1997)

STATUS: In process, HQ/Procurement is developing a handbook to be used for guidance by contract specialists. The handbook will include a section on records management. HQ will update to reflect the new RM Order, and the rewrite of chapter 5 and 11 in the Contractor Specialist Handbook.

5.5 Records Management for Nonnuclear Reconfiguration

Lead Site: **AL Operations Office**
Anticipated Completion Date: **FY 2000**

Non-nuclear reconfiguration is a finite DOE effort to realign weapons design and manufacturing into a smaller, less costly operation. Besides the transfer of manufacturing technologies from donor sites to receiver sites, DOE information management planning and implementation must accommodate the redeployment of the associated documentation to support these efforts.

The DOE goal is to improve the information management activities required to support production reassignments and technology transfer in the non-nuclear reconfiguration project. To help facilitate this goal a Records Management Activity Transfer Group was established as a component of the non-nuclear reconfiguration project. The Records Management Activity Transfer Group (RMATG) was formed to develop standardized processes for the identification, relocation and disposition of records relating to technologies and/or functions transferred from donor to receiver sites within the NWC. This was accomplished by bringing together key personnel from the technical and administrative side, under the coordination to produce a plan; procedures and security practices required to protect/preserve existing information assets of the non-nuclear weapon production complex.

GOAL: To transfer appropriate and required records from Nuclear Weapons Complex (NWC) sites such as the Mound Facility, Pinellas Plant, and Rocky Flats Plant to receiver sites such as the Kansas City Plant, Savannah River Site, Los Alamos National Laboratory, Sandia National Laboratory and associated DOE Area and Field Offices.

To successfully achieve DOE's goal, the following actions should be taken:

5.5.1 Perform a study to determine the feasibility of establishing a DOE classified records center for the storage of inactive classified records.

5.5.2 Where possible, use Federal Records Centers and NARA storage space for DOE inactive records (For unclassified records).

STATUS: Item1 is complete. Item 2 is incomplete.

5.6 Plant Closure/Commercialization/Stewardship

Lead Site: **Oak Ridge Operations Office**
Anticipated Completion Date: **FY 2001**

The revision of a procedure for handling records involved in a contract or project termination; contract changeover or consolidation; privatization, or commercialization effort. There are several elements common to all situations. The final product will be useful as a "how to" document that may identify criteria for the effort to properly identify, gather, maintain and disposition records related to each transition scenario.

The final product addresses procedures plan development, records identification, schedule development, transfer, storage, media, contract considerations, ownership of records issues and the responsibilities for access after transition. The possible need to develop new site-specific record schedules will also be addressed.

To successfully accomplish this goal, the following action should be initiated:

5.6.1 Participate within stewardship committees.

STATUS: Ongoing. Project has been completed; however will be revisited to include commercialization and privatization.

5.7 Environmental Administrative Record (AR)

Lead Site: **Nevada Operations Office, HQ**
Anticipated Completion Date: **FY 2000**

An administrative record is the complete body of documents used to justify the selection of an environmental site cleanup remedy. A goal of the DOE administrative record is to provide a framework for site-specific programs to meet the judicial review and public participation requirements of environmental cleanups.

The administrative record serves two primary purposes. First, it limits the judicial review of a Comprehensive Environmental Response, Compensations, and Liability Act (CERCLA) response action. That is, when a response action is challenged in court, the court can only review the information that is contained in the administrative record. The Environmental Protection Agency, which is responsible for Federal facility oversight, has little experience in overseeing the magnitude of cleanup activities required at DOE sites, and therefore more guidance is needed from DOE. Also, policies and guidance differ between regions because the regional Environmental Protection Agency staff has some latitude of interpretation.

The second purpose of the administrative record is to serve as a vehicle for public anticipation in selecting a response action because the administrative record must be made available for public inspection and comment. Each DOE site has different policies regarding the availability of site documents. This inconsistency has resulted in many of the documents, required by law to be in the administrative record, to be not readily available or accessible to the public. Although some specific guidance does exist defining which documents are in the administrative record, there is little consistency between DOE sites in identifying potentially related administrative record documents.

To successfully establish an administrative record framework, the following actions should be initiated:

5.7.1 Develop a set of criteria that identifies document types included in the administrative record.

5.7.2 Identify the requirements for maintaining the collection based on effectiveness of EH schedule.

5.7.3 Identify who is responsible for developing the administrative record.

5.7.4 Conduct an evaluation of current DOE administrative record programs or projects for environmental cleanups.

5.7.5 Develop an overall DOE administrative records program for environmental cleanups that includes responsibilities, assessments, and storage and retrieval criteria - guidance.

STATUS: Items 1 and 2 will be complete when NARA approves the Environmental Schedule. Items 3, 4 and 5 are incomplete.

5.8 Litigation Documents/Discovery Process

Lead Site: **Richland Operations Office and Rocky Flats Project Office**

Anticipated Completion Date: **FY 2001**

A goal of a DOE information management program is to ensure litigation information is identified, protected, and accessible on a continual basis.

To successfully achieve this goal, the following actions should be taken:

5.8.1 Coordinate with the office of Legal Counsel to develop and implement a mechanism for the identification of records necessary to properly support litigation for DOE.

5.8.2 Establish mechanism to tag records that are required to be held for litigation. This may require flagging these records at both the individual and/or the record series level. Identification and “tagging” of the specified records should be implemented at both the indexing (metadata) and physical level.

5.8.3 Revise guidance to clearly state requirements (access, protection, storage, etc.) for management of information potentially related to litigation activities. This includes provisions for protecting records from destruction after their retention period has expired.

STATUS: Incomplete.

5.9 Working Papers

Lead Site: **All Sites and HQ**
Anticipated Completion Date: **FY 2002**

Working papers are rough notes, calculations, or drafts from which other documents are analyzed or prepared. Working papers may be record material if they are: circulated for official purposes, used to communicate with agency staff about agency business, or contain information unique to the formulation and execution of basic policies, decisions, actions, or responsibilities. Working papers are not confined to paper media and can exist in electronic or other media.

One of the goals of the DOE Records Management Program is to ensure the correct classification (or reclassification when their value changes) of all DOE documents, including working papers. In order to carry out this goal, we must increase awareness of the potential value and encourage the proper handling of these materials to facilitate the correct classification.

There must be a clear understanding throughout DOE of what constitutes working papers and when they are considered record material. There are a number of different terms being used interchangeably concerning working papers, including draft documents, working files, case working files, convenience files, non-record materials, records, and technical reference files. Accordingly, these terms need to be clearly defined and understood to ensure correct usage.

Working papers are currently included in the on-going inventory and scheduling initiative. Working papers must be accurately described and scheduled on the DOE Form 1324.10, Records Inventory and Disposition Schedule as record or non-record material.

Working papers represent a significant problem area in the DOE Information Management Program because they are not fully defined or recognized, and processes associated with their use and disposition are not clearly understood or followed.

To alleviate these problems, the following actions should be taken:

5.9.1 Create DOE guidance that clearly and fully defines working papers and specifies guidance for classifying, scheduling, and administering these materials. The guidance should address related categories of information with which working papers may be identified (e.g., convenience files, working files, technical reference files, etc.).

5.9.2 Establish methods to ensure working papers determined to have value not previously recognized are reclassified, rescheduled, and are not destroyed under their original working papers classification.

STATUS: Incomplete.

5.10 Privacy Act, Freedom of Information, and Proprietary Issues

Lead Site: **OSTI**
Anticipated Completion Date: **FY 2001**

The Privacy Act and the Freedom of Information Act (FOIA) and the Electronic FOIA Amendment of 1996 are laws that prescribe special policies, principles, standards, and techniques for the maintenance, use, and access to certain Federal records. The Privacy Act specifically addresses managing records that are searchable and retrievable by a person's name or a unique identifier. The FOIA addresses public access to existing Federal records, except those records that are exempt from the FOIA. Proprietary issues address the management of Federal records containing a business entity's proprietary information that, if know to competitors or others would likely cause harm to the business entity.

A goal of the DOE Records Management Program is to develop and implement processes, standards, and systems to provide for the creation, maintenance, use, and/or access to Federal records according to requirements of the Privacy Act, FOIA, related laws, Executive orders, regulations, and directives.

DOE guidelines prescribe the management of Privacy Act, FOIA, and proprietary information, and Privacy Act and FOIA programs are well entrenched within DOE.

Over time, a large and growing body of case law has provided additional guidance to DOE in the management of these records.

To successfully achieve these goals, the following actions should be taken:

5.10.1 Develop and maintain an on-going liaison with DOE Privacy Act and FOIA officials, officials responsible for the protection of proprietary data and information, and legal officials having knowledge of these matters.

5.10.2 Ensure that records management concerns are addressed in the development and implementation of DOE directives and regulations governing the creation, maintenance and

use, and access to Privacy Act data and information within DOE and DOE contractor organizations.

5.10.3 Assist in the communication with and providing services to the public regarding Privacy Act records management systems within DOE, and provide mechanisms that ensure that all protection provided by law, Executive orders, regulations and directives are in place and enforced.

5.10.4 Assist Privacy Act Officers in identifying record series covered by the Privacy Act in order to ensure the series are included in DOE Privacy Act Systems of Records.

5.10.5 Support and encourage electronic record keeping practices and maintain an index of recordkeeping systems for scheduling and retrieval of information in compliance with the Electronic Freedom of Information Act Amendment of 1996.

STATUS: Items 1, 2 and 3 are ongoing. Items 4 and 5 are new action items that are ongoing.

5.11 Audiovisual Records

Lead Site: **Nevada Operations Office**
Anticipated Completion Date: **FY 2000**

Audiovisual records include still and motion pictures, graphic materials, audio and video recordings, and combinations of media. Related records include production files and finding aids. Production files document the origin, development, acquisition, use, and ownership of the audiovisual records. Finding aids are used for identifying, retrieving, or using audiovisual records. These may include indexes, catalogs, lists, and logbooks, etc., and may be in paper, card, microfilm, or electronic form.

Audiovisual records are highly vulnerable to damage and require special handling and storage. At present, DOE lacks appropriate facilities to preserve these records. This situation is causing rapid deterioration of these records and the permanent loss of the information contained therein. The extent to which problems exist is currently unknown, but problems will continue until facilities are upgraded.

A goal of the DOE Records Management Program is to have an effective process for creation, maintenance, use, storage, and disposition of audiovisual and related records.

To successfully achieve this goal, the following actions should be taken:

5.11.1 Review, revise, and issue guidance on the creation and maintenance of audiovisual records that incorporates regulatory requirements.

5.11.2 Incorporate information, policies, and procedures concerning audiovisual records into training and awareness materials.

5.11.3 Ensure the scheduled disposition of audiovisual records early in their life cycle since they are more perishable than textual records.

STATUS: Incomplete. Item 1 is in process and a guidance document has been developed. HQ will coordinate comments prior to finalizing. Items 2 and 3 are ongoing.

5.12 Cartographic Records

Lead Site: **Nevada Operations Office**
Anticipated Completion Date: **FY 2000**

Cartographic records are graphic representations, drawn to scale, of selected features of the earth's surface and atmosphere, and of other planets and planetary satellites. Included as cartographic records are engineering drawings, maps, charts (hydrographic/nautical, weather, and aeronautical), photomaps, orthophotomaps, atlases, cartograms, globes, relief models, and related records, such as field survey notes, map history case files, and finding aids. Digital cartographic records such as geographic information system records are managed like other electronic records.

A goal of the DOE Records Management Program is to properly maintain all cartographic records according to DOE needs and requirements, and to properly preserve permanent cartographic and architectural records by transferring them to NARA, as appropriate.

To properly maintain cartographic records, the following actions should be taken:

5.12.1 Clearly define, describe, and schedule DOE cartographic records to ensure their authorized disposition.

STATUS: Incomplete. Item 1 has been completed and guidance developed. Comments will be coordinated and the document finalized by HQ.

5.13 Engineering Drawings

Lead Site: **Nevada Operations Office**
Anticipated Completion Date: **FY 2000**

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Engineering drawings are viewed within DOE as a special category of cartographic records because they are voluminous, often quality affecting, and are critical to the safe construction, operation, maintenance, and destruction when necessary of DOE facilities and equipment. Because engineering drawings is perhaps the most significant document for a facility's configuration management program, the information depicted must be kept current and accurate throughout the facilities' and equipment's' full life cycle. Most engineering drawings now associated with DOE facilities are created on computer-assisted design (CAD) systems and must be managed as electronic records.

A goal of the DOE Records Management Program is to have readily available the technical design information that supports design, construction, operation, maintenance, and decommissioning of DOE facilities.

Currently, DOE is not making full use of its electronic information management resources, and in most cases the "record copy" for drawings is the signed hard copy instead of the electronic data set. Administering engineering drawings electronically is severely negatively affected by the lack of policy on electronic authorization and signature.

There is an audience within DOE receptive to automated processes for managing drawings. Unfortunately, this enthusiasm has resulted in non-standardized CAD system hardware and software configurations at many DOE sites. Multiple, fragmented drawing management databases exist at DOE sites. They do not include all site drawings or current changes.

On many sites, drawing accuracy and integrity has diminished or drawings were not handed over in a usable format. A loss of configuration control has resulted because drawings were not maintained in current status with facility changes.

To have technical design information readily available, the following actions should be taken:

5.13.1 Form a group to develop a DOE drawing management technical standard that identifies:

- Documents, which constitute engineering/design information (e.g., drawings, calculations, requisitions, etc.).

- Good business practices for each step of the drawing life cycle (e.g., creation, checking, review, comment resolution, approval, release, distribution, revision, cancellation).
- Database integration and electronic authorization criteria.
- Standardized output requirements (i.e., format, numbering, legibility, etc.) for offsite contractors and suppliers.
- Retrofit guidelines.
- Linked configuration management, document control, and records management programs for this data.

5.13.2 Implement standardization at each site, as appropriate and require any site-specific variations to be justified and documented.

5.13.3 Implement an integrated document control system at each site that recognizes engineering drawings as DOE-owned technical information resources.

5.13.4 Ensure drawings conform to standard DOE-specified requirements and that they are provided to DOE as a contract deliverable.

STATUS: Incomplete. Item 1 is in process and a guidance document has been developed. HQ will coordinate comments and finalize the document. Items 2 and 3 are long-term objectives and ongoing.

5.14 X-Rays and Radiograph Records

Lead Site: **Ohio Project Office and Grand Junction Office**
Anticipated Completion Date: **FY 2001**

X-rays and radiographic records are created using radiology technologies to verify the interior conditions of people and things. These records are usually in the form of a thin film, which varies considerably in size. Some of these records can produce hazardous byproducts during the aging process, while others completely lose their value due to fading and deterioration. Because of their physical characteristics, x-rays and radiographs will continue to deteriorate if not stored under environmentally controlled conditions.

The goal of the DOE Records Management Program is to establish a program that provides guidance to adequately manage x-rays and radiographs in a safe, sensible manner. To successfully achieve this goal, the following actions should be taken:

5.14.1 Develop policies and procedures to adequately address regulations and storage requirements. Evaluate each collection for its current value to DOE, i.e., legal, epididmiology, and quality.

5.14.2 Develop policies and procedures to adequately address requirements for cost benefits for legal need for realistic storage, based upon the value of the record.

5.14.3 Fund for storage using cost benefits.

5.14.4 Have each DOE organization evaluate each collection to assess its value and the health prevention risks associated with its retention. If appropriate, request NARA approval (through HQ) for destruction.

STATUS: Incomplete. Tentative guidance was issued by HQ; however, items 1 and 2 need to be revisited. Item 3 must be considered a very long-term project due to funding constraints. Item 4 has *been* implemented at a few sites but should be revisited Department-wide.

5.15 Quality Assurance (QA) Records

Lead Site: **Nevada Operations Office**
Anticipated Completion Date: **FY 2000**

The broad definition of QA records is a completed document that furnishes evidence of the activities affecting the caliber of work or the work product. In DOE there are many interpretations of what is a QA record, which has led to numerous and sometimes-conflicting requirements. In some cases, records are being stored longer than necessary while other records are destroyed too quickly or not protected as required by a regulation.

A goal of the DOE Records Management Program is to develop guidance for managing QA records, which satisfies the requirements of DOE 5700.6C, QUALITY ASSURANCE, and facilitates a graded approach to each site's application of the Order.

American Society for Mechanical Engineering (ASME) NQA-1, Criterion 17, was previously adopted as the standard for the control and protection of DOE QA records; however, application varies from site to site. DOE 5700.6C rescinded ASME NQA-1 as the mandatory standard for the processing and control of QA records. The nuclear industry standards and requirements have been the basis for most quality assurance requirements. These nuclear requirements are costly to meet and not needed for all QA records.

Using other standards and guidance documents such as ASME NQA-2/NQA-3, NARA requirements, Environmental Quality Assurance Requirements, etc., along with DOE 5700.6C, DOE now can more accurately and efficiently apply QA records controls while the activities are being documented. To successfully achieve this goal, the following actions should be taken:

5.15.1 Issue the policy or guidance for a broad review and comment cycle to all DOE offices, contractors, regulatory agencies, and affected stakeholders; such as Federal and state agencies, NARA, NIRMA, Association of Records Managers and Administrators, etc.

5.15.2 Once a program is established require each DOE site to develop specific implementing directives and procedures to satisfy site missions and the overall requirements for creation, use, maintenance, protection, and disposition of the records. Directives and procedures should satisfy site requirements for state, public and regulatory agency involvement. Each site should use the group approach, with representatives from record management and quality assurance.

5.15.3 Create a HQ Records database for closed site records.

STATUS: Incomplete. Item 1 is complete. Item 2 is in process of review and comments.

6.0 RECORDS MANAGEMENT

TECHNOLOGY ENHANCEMENTS

6.0 RECORDS MANAGEMENT TECHNOLOGY ENHANCEMENTS

Since the original creation of the Roadmap, the use of electronic technology in creating and managing records has continued to grow and change. This section of the Roadmap has been added to address technology-related projects. Many of these technology enhancements require policy, procedures, general guidance, and some may require security and legal considerations.

The development of electronic document administration and records management tools, accompanied by these technology enhancements has both simplified and increased the complexity of the Records Management Program. On one hand, tools like the Internet, e-commerce and the World Wide Web have made information more accessible to the department. On the other hand the ability to manage the records by computer network or applying secure digital signatures, has added a need to coordinate the resolution of the issues as they are raised. The issues discussed in this section represent activities necessitated by both aspects of these technological enhancements.

6.1 Enhance the DOE Records Management Web Site

Lead Site: **HQ**
Anticipated Completion Date: **FY 2000**

The goal of this project is to modify the existing DOE/HQ Records Management website to enhance its appearance and functionality. Additional items will be added to the web site to highlight the accomplishments and future plans for the program and to provide links to facilitate communications regarding various issues and events.

A Records Management Webmaster has been identified who will be responsible for web content and structure. All content and structure shall be conceptualized and implemented through HQ and the Webmaster. Categories of information will be established to allow for flexibility in making future updates of the information and the addition of new information to the Web site in a labor effective manner. In addition to detailed information concerning the Records Management Program and the need to facilitate its operation throughout the complex, program summary information and success stories will be available for reference by DOE non-records staff. Links to appropriate web pages for reference materials will be provided.

6.1.1 Identify process for providing updates to the web site.

6.1.2 Make initial enhancements.

STATUS: Ongoing

6.2 Develop Web-Based Information On Records Inventories

Lead Site: **HQ: SO/MA/EH**
Anticipated Completion Date: **FY 2002**

The goal of this project is to provide finding aids to the Department's Records Inventories. The finding aids or pointer information will be accessible through the Internet.

STATUS: Ongoing.

6.3 Establish Policy for Web-Based Records

Lead Site: **SR/NV/HQ**
Anticipated Completion Date: **FY 2001**

This project is to clarify the definition of an Internet record and ensure that all pertinent information surrounding the creation of the web record is captured and processed as a record.

6.3.1 Develop policy for web based records.

6.3.2 Develop guideline for implementation

6.4 Establish A Central Repository For Electronic Records

Lead Site: **HQ**
Anticipated Completion Date: **2003**

This project is to identify the issues associated with the storage of electronic records at individual sites vs. storage at a central depository by reviewing current regulations pertaining to electronic records storage. The task will evaluate the costs for the storage of these records, including any migration and reformatting costs, and determine the specification for such a repository. A recommendation regarding the feasibility of a central DOE electronic record repository will be made.

A team comprised of representatives from DOE Headquarters and Field sites will be charged with completing this task. The team will research and define the issues associated with the storage of electronic records and evaluate the approaches used by other governmental and commercial organizations in solving the capture and management of electronic records. The team will develop a list of the advantages and disadvantages of a central repository and of decentralized storage for electronic records.

6.4.1 Establish team of representatives.

6.4.2 Develop and issue feasibility study for the creation of a central electronic records storage repository.

STATUS: Incomplete.

6.5 Establish A DOE Policy For E-Mail Management

Lead Site: **SR/NV/HQ**
Anticipated Completion Date: **FY 2001**

Project is to establish a DOE-enterprise-wide policy, applicable to all DOE facilities and contractors, concerning the management and handling of electronic mail (e-mail) services and files. The policy should address the retention of the e-mail, especially in relation to existing regulations from NARA and those concerning Freedom of Information Act (FOIA) and the Privacy Act. Develop a training lesson plan and materials to inform the DOE federal and contractor employees of the requirements of the policy.

A team composed of enterprise-wide DOE and DOE contractor records management staffs will review current policies, regulations and guidance and solutions from the federal and commercial sectors to establish a benchmark for the development of an internal DOE policy. A draft policy will be developed and submitted for review. After resolution of comments, the training outline and materials will be developed and disseminated for on-site training throughout the DOE-complex.

6.5.1 Draft policy

6.5.2 Coordinate review of policy.

6.5.3 Issue directive.

STATUS: Item 1 is complete. Items 2 and 3 are pending final issuance of Directive.

6.6 Establish Guidance On The Use of Electronic Signatures

Lead Site: **OSTI/All Sites**
Anticipated Completion Date: **2001**

With the ever-increasing use of electronic technology, it is necessary to establish a framework for authenticating computer-based information. Electronic messages are rapidly

replacing paper in today's environment. These messages are migrating beyond private, limited-function communications to open networks, such as the Internet, with unlimited uses. Because open networks lack rigorous access and usage controls, they are basically un-secure. Consequently, electronic messages are particularly susceptible to altering, tampering, or forging. Digital signature is a technological solution to these problems.

Actions include:

6.6.1 Designate an individual from the Records Management Division to join the Digital Signature Working Group (DISIWG).

6.6.2 Obtain the current status of the DOE structuring and application of electronic signatures. Develop a policy directive on the implementation and usage of electronic signatures.

6.6.3 Provide guidelines that could be included for reference in **DOE G 241.X-1, Electronic Records Management Guide** (change this number to correct) when the consideration is approved.

STATUS: Item 2 is complete. Items 1 and 3 are incomplete.

6.7 Establish Criteria for Data Migration

Lead Site: **SR/NV**
Anticipated Completion Date: **FY 2003**

There are a number of concerns and issues that have been identified with the use of electronic records and information technology. Some of the Records Management challenges involve the dependability and longevity of storage media, the dynamics of software and hardware upgrades, data degradation and loss during conversion, and the ability and methods to disposition of electronic records. There is considerable expense associated with long-term storage and Management of electronic data and information. Proper planning and taking the necessary action at the appropriate time are essential elements for the successful and economical management of this information.

Actions include:

6.7.1 provide guidelines and methodologies to identify, prioritize and migrate existing record information, data and metadata into subsequent records management application systems during hardware and/or software upgrades.

6.7.2 propose a uniform format for long-term storage and maintenance of DOE database and record information. (See sections 6.4. and 6.8)

STATUS: Incomplete.

6.8 Develop a Standard For Electronic Records Management Software Applications

Lead Site: **HQ**
Anticipated Completion Date: **FY 2000**

Project goal is to prepare and issue a standard for the DOE that describes the attributes of an electronic records management software application.

The electronic records management software application (RMA) is to be modeled after the Department of Defense's electronic records management application standard to allow for efficiencies in implementation. The approval testing conducted by DOD will be used to approve software and processes for use within the DOE.

STATUS: Incomplete

6.9 Alternate Technologies

Lead Site: **HQ/with RM Council Input**
Anticipated Completion Date: **FY 2001**

Alternate technologies are required to provide correct information promptly while cutting time, cost, and effort required to label, store, search, duplicate, and handle information.

Currently, DOE lacks standards and guidelines for filing and storing records electronically. There is insufficient communication and coordination between records managers and information technology personnel. A methodology for interaction between the functions would be helpful.

STATUS: Incomplete.

6.10 Guide for Records Management Participation in Developing/ Modifying Current/Future Software

Lead Site: **SR**
Anticipated Completion Date: **FY 2002**

The goal is to develop a guide in the form of a checklist for use by DOE records management staff in supporting the development or modification of software to be used at DOE facilities and offices.

6.10.1 Establish a team of DOE federal and contractor employees will investigate the appropriate processes used to develop software within the DOE complex.

6.10.2 Develop a checklist of applicable questions to assist the RM staff in identifying the records to be created by the new software, retention requirements and any maintenance requirements associated with software development.

STATUS: Incomplete.

6.11 Identify and Schedule Existing Unscheduled Electronic System Records

Lead Site: **HQ/All Sites**
Anticipated Completion Date: **FY 2003**

There are many databases and electronic information systems that are employed at DOE sites. Many of these systems are not identified as having record information and are not captured in a records management system. In effect, these are unscheduled and missing records. There is potential for much of this information to be superseded, overwritten or destroyed before it is legal to do so. In order to capture and protect these records it is essential to locate and evaluate this information for scheduling in accordance with the required disposition requirements.

6.11.1 Establish and lead a workgroup to accomplish these tasks.

6.11.2 Provide guidance and methodologies for identifying data systems containing record information.

6.11.3 Establish procedures for record capture, backup and to ensure that only unscheduled data is captured.

STATUS: Incomplete.

6.12 Establish Guidance for Y2K Records

Lead Site: **SR/NV**
Anticipated Completion Date: **FY 2000**

Project goal is to assist the Year 2000 project to document the actions taken to modify the Department's computer programs to become Year 2000 compliant, and to develop disposition schedules for Y2K records.

Project will document work performed by the Department in modifying computer programs because of the historical method used by computers in date processing. This will become important after the modifications are completed. A consistent method to document these actions will assist the Department in identifying the scope and cost for the Y2K work, the changes made and the extent of testing performed. The modification and testing of the major DOE computer systems to make them Y2K - compliant is to be completed by the end of March 1999 and the remainder of the systems is to be completed by the end of 1999.

STATUS: Project Complete.